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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Joseph S. HAYDEN et al.

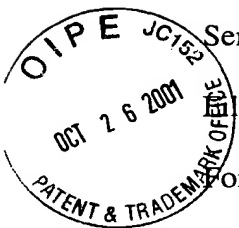
Serial No.: 09/930,478

Group Art Unit: TO BE ASSIGNED

Filed: August 16, 2001

Examiner: TO BE ASSIGNED

For: GLASS WITH A MINIMAL STRESS-OPTICAL EFFECT



INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §§ 1.56, 1.97 and 1.98

Assistant Commissioner for Patents
Washington, D. C. 20231

Sir:

CITED MATERIALS

Applicant(s) hereby disclose the information listed in the attached form PTO-1449.

- ☐ Copies of materials listed but not attached were cited in parent application Serial No. ____; see 37 C.F.R. § 1.98(d).
- ☐ Copies of materials listed but not attached were cited in an International Search Report dated ____; receipt of any International Search Report and copies of references were confirmed by the PCT International Division of the U.S. PTO in the Notice of Acceptance mailed ____.

ADDITIONAL INFORMATION

- All listed materials are in the English language; see 37 C.F.R. § 1.98.
- ☐ Other:
 - ☐ The reference(s) in the English-language is (are) indicated by commercial search services to correspond to the reference(s), respectively.
 - ☐ No translation or English-language equivalent of the reference(s) is known; an English-language abstract therefore is provided.
 - ☐ An English-language version of a search report or equivalent paper from a foreign patent office in connection with a counterpart foreign application is provided indicating the relevance of the reference(s) found there.

FEES

- ☒ No fee is required for this Information Disclosure Statement because:
 - ☒ This Information Disclosure Statement is being filed within three months of the filing date of a national application (other than a CPA) under § 1.53(d) or within 3 months of the date of entry of the national stage under § 1.491 in an international application;
 - ☐ This Information Disclosure Statement is being filed before the mailing of a first action on the merits;
 - ☐ This Information Disclosure Statement is being filed after a first action on the merits but before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that closes prosecution in the application, and is accompanied by a certification below.
 - ☐ This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(i).
- ☐ A fee is required for this Information Disclosure Statement:
 - ☐ This Information Disclosure Statement is being filed after a first action on the merits but before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311 or an action that closes prosecution, and is accompanied by the fee set forth in § 1.17(p).
 - ☐ This Information Disclosure Statement is being filed after the mailing date of a final rejection or a notice of allowance under § 1.311 or an action that closes prosecution, but before the payment of the issue fee, and is accompanied by the fee set forth in § 1.17(p) and a certification below.

CERTIFICATION

- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c), more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

If appropriate, attached is a check in the amount of \$_____. However, the Commissioner is hereby authorized to charge fees under 37 CFR § 1.16 and § 1.17 which may be required to facilitate this filing, or credit any overpayment to Deposit Account #13-3402, two copies of this paper are attached for this purpose.

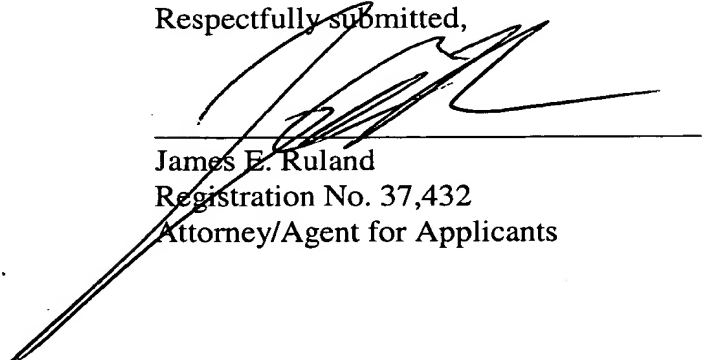
REMARKS

The following activities occurred more than one year prior to the provisional application's filing date of August 16, 2000, in chronological order:

1. - a confidentially and nondisclosure agreement (attached) was executed between the assignee Schott Glass Technology, Inc. of the present application and a potential customer.
2. - a proposal for a development project was sent to the potential customer. The proposal included two phases. The first phase would develop a series of five melts along with a comparative composition and the second phase involved adjustments in one or more of the previous five melts to optimize a suitable glass. In return, the potential customer would pay for the project development cost.
3. - a letter (attached) was mailed to the potential customer accompanying six test melts corresponding to, respectively the Comparative Example and Examples 1-5 depicted in Tables 11 and 12 at pages 17 and 18 of the present specification. These samples were sent to the potential customer for measurements by their testing method with the understanding that the test data and samples would be

returned to Schott GlassTechnology. But the potential customer did not provide data nor return the samples.

Respectfully submitted,



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Attorney Docket No.: SGT 35

Date: October 26, 2001

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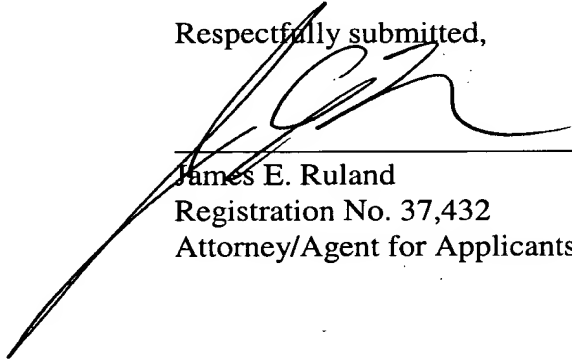
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Respectfully submitted,



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Attorney/Agent for Applicants

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Attorney Docket No.: SGT 35

Date: October 25, 2001

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